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Sheet 1 of 7

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12610-020US1	Application No. 10/578,561
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Howard J. Federoff et al.	
		Filing Date March 1, 2007	Group Art Unit 1649

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	5,501,979	03/26/1996	Geller et al.			
	AB	5,661,033	08/26/1997	Ho et al.			
	AC	5,851,826	12/22/1998	Fraefel et al.			
	AD	5,928,913	07/27/99	Efstathiou et al.			
	AE	5,965,441	10/12/1999	Breakefield et al.			
	AF	5,998,208	12/07/1999	Fraefel et al.			
	AG	6,040,172	3/21/2000	Kaplitt			
	AH	6,051,428	04/18/2000	Fong et al.			
	AI	6,344,445	02/2000	Boursnell et al.			
	AJ	2002/0103152	08/01/02	Kay et al.			
	AK	2004/0047837	03/2004	Fong et al.			

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL	WO96/29421	9/26/1996	PCT				
	AM	WO97/00085	1/03/1997	PCT				
	AN	WO98/15637	4/16/1998	PCT				
	AO	WO00/08194	2/17/2000	PCT				
	AP	WO00/34497	6/15/2000	PCT				
	AQ	WO01/89304	11/29/2001	PCT				
	AR	WO02/056828	07/25/2002	PCT				
	AS	WO02/66056	8/29/2002	PCT				
	AT	WO02/087625	11/07/2002	PCT				
	AU	WO03/101396	12/11/2003	PCT				
	AV	WO04/064765	8/05/2004	PCT				
	AW	WO04/112721	12/29/2004	PCT				

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	AX	Alexander et al. "Transfer of Contaminants in Adeno-Associated Virus Vector Stocks Can Mimic Transduction and Lead to Artifactual Results", Human Gene Therapy, pp. 8:1911-1920 (11/1/1997).
	AY	Andreeff et al., "Discrimination of Human Leukemia Subtypes by Flow Cytometric Analysis of Cellular DNA and RNA", Blood, Vol. 55, No. 2, pp 282—293, (02/1980).
	AZ	Arvanian et al., "Removal Of NMDA Receptor Mg+2 Block Extends The Action Of NT-3 On Synaptic Transmission In Neonatal Rat Motoneurons", J. Neurophysiol. July 2001, Vol. 86, No. 1, pp. 123-129
	AAA	Bogen et al., "Idiotope-Specific T Cell Clones That Recognize Syngeneic Immunoglobulin Fragments in the Context of Class II Molecules", Eur. J. Immunol., Vol. 16, pp. 1373-1378, (1986).
	ABB	Bogen et al., "Processing and Presentation of Idiotypes to MHC-Restricted T Cells", Intern. Rev. Immunol., Vol. 10, pp 337-355 (1993).
	ACC	Bowers et al., "Neurotrophin-3 transduction attenuates cisplatin spiral ganglion neuron ototoxicity in the cochlea," Molecular Therapy, vol. 6, no. 1, pp. 12-18, July 2002.
	ADD	Bowers et al., "Discordance Between Expression And Genome Transfer Titering Of HSV Amplicon Vectors: Recommendation For Standardized Enumeration", Molecular Therapy, March 2000, Vol., 1, No. 3, pp. 294-299
	AEE	Bowers et al. "Expression of VHS and VP16 during HSV-1 helper virus-free amplicon packaging enhances titers", Society for Neuroscience Abstracts, Vol. 26, No. 1-2, 2000, Abstract No. 765.10, XP009062401 & 30th Annual Meeting of the Society of Neuroscience; New Orleans, LA, USA; November 4-9, 2000, ISSN: 01290-5295
	AFF	Bowers et al. "Expression of vhs and VP16 during HSV-1 helper virus-free amplicon packaging enhances titers", Gene Therapy, Vol. 8, No. 2, pp. 111-120, January 2001
	AGG	Bowers, W.J. et al., "Development of integrating HSV-1 amplicon vectors for CNS gene transfer", Society for Neuroscience Abstract, Vol. 2002, Abstract No. 387.13, November 2, 2002
	AHH	Bowers et al., "Differential abeta-specific responses via HSV amplicon-based immunotherapy" Society for Neuroscience Abstract, Vol. 2003, Abstract No. 201.19, 2003, XP002460819 & 33 <sup>rd</sup> Annual Meeting of the Society for Neuroscience, New Orleans, LA, November 8-12, 2003
	AII	Caligaris-Cappio et al., "B-Cell Chronic Lymphocytic Leukemia: A Bird of a Different Feather", Journ. Of Clinical Oncology, Vol. 17, No. 1, pp. 399-408, (01/1999).
	AJJ	Cantwell, et al., "Adenovirus Vector Infection of Chronic Lymphocytic Leukemia B Cells", Blood, Vol. 88, No. 12, pp. 4676-4683, (12/15/1996).
	AKK	Cardoso et al., "Pre-B Acute Lymphoblastic Leukemia Cells May Induce T-Cell Anergy to Alloantigen", Blood, Vol. 88, No. 1, pp. 41-48, (07/01/1996).
	ALL	Chen and Wu, "Experimental vaccine strategies for cancer immunotherapy", J. Biomed. Sci., 5:231-252, 1998
	AMM	Chen, Xiaowei et al., "HSV amplicon-mediated neurotrophin-3 expression protects murine spiral ganglion neurons from cisplatin-induced damage", Molecular Therapy, Vol. 3, No. 6, pp. 958-963, June 6, 2001
	ANN	Chow et al., "Improvement of Hepatitis B Virus DNA Vaccines by Plasmids Coexpressing Hepatitis B Surface Antigen and Interleukin-2", J. Virology 71:169-178 (1997)
	AOO	Collins, M., "Retroviral Vectors for Cancer Gene Therapy", Springer-Verlag Berlin Heidelberg New York, Issn 0947-6075 an ISBN 3-540-67298-2, pp. 100-105

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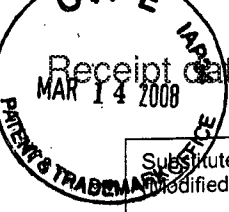
**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	APP	Croce et al., "The Use Of Carbohydrate Antigens For The Preparation Of Vaccines For Therapy In Breast Cancer", Drugs Of Today, 2002, Vol. 38, No. 11 pp. 759-768
	AQQ	Cunningham et al., "A Cosmid-Based System for Constructing Mutants of Herpes Simplex Virus Type 1", Virology 197, pp 116-124 (1993).
	ARR	Döhn et al., "Chromosome Aberrations in B-Cell Chronic Lymphocytic Leukemia: Reassessment Based on Molecular Cytogenetic Analysis", J. Mol. Med., 77:266-281 (1999).
	ASS	De Felipe P. et al., "Integrating Retroviral Cassette Extends Gene Delivery Of HSV-1 Expression Vectors To Dividing Cells", Biotechniques, August 2001, Vol. 31, No. 2, pp.394-402
	ATT	Diehl et al., "CD40 Activation in vivo Overcomes Peptide-Induced Peripheral Cytotoxic T-Lymphocyte Tolerance and Augments Anti-Tumor Vaccine Efficacy", Nature Medicine, Vol. 5, No. 7, pp. 774-779 (07/1999).
	AUU	El-Farrash et al., "Generation And Characterization Of A Human Immunodeficiency Virus Type 1 (HIV-1) Mutant Resistant To An HIV-1 Protease Inhibitor", Journal Of Virology, 68:233-239 (1994)
	AVV	Everly, Jr., et al., "Mutational Analysis of the Virion Host shutoff Gene (LUL41) of Herpes Simplex Virus (HSV): Characterization of HSV Type 1 (HSV-1) HSV-2 Chimeras", Journal of Virology, Vol. 71, No. 10, pp. 7157-7166, (10/1997).
	AWW	Everly, Jr., et al., "Site-Directed Mutagenesis of the Virion Host Shutoff Gene (UL41) of Herpes Simplex Virus (HSV): Analysis of Functional Differences between HSV Type 1 (HSV-1) and HSV-2 Alleles", Journal of Virology, Vol. 73, No. 11, pp. 9117-9129, (11/1999)
	AXX	Fink et al., "Engineering herpes simplex virus vectors for gene transfer to neurons," Nature Medicine, vol. 3, no. 3, pp. 357-59, 1997.
	AYY	Fraefel et al., "Helper Virus-Free Transfer of Herpes Simplex Virus Type 1 Plasmid Vectors into Neural Cells", Journal of Virology, Vol. 70, No. 10, pp. 7190-7197 (10/1996).
	AZZ	Frenkel et al., "Minireview: The Herpes Simplex Virus Amplicon - A Versatile Defective Virus Vector", Gene Therapy, Vol. 1, Suppl. 1, pp. S40-S46, (1994).
	AAAA	Frenkel et al., "The Herpes Simplex Virus Amplicon - A Novel Animal Virus Cloning Vector", Eukaryotic Viral Vectors, pp. 205-209, by Cold spring harbor Laboratory (1982).
	ABBB	Geller et al., "A Defective HSV-1 Vector Expresses, Escherichia coli-Galactosidase in Cultured Peripheral Neurons", Science, Vol. 241, pp.1667-1169, (09/23/1988).
	ACCC	Geller et al., "An Efficient Deletion Mutant Packaging System for Defective Herpes Simplex Virus Vectors: Potential Applications to Human Gene Therapy and Neuronal Physiology", Proc. Natl. Acad. Sci., USA, Vol 87, No. 22, pp. 8950-8954, (11/1990).
	ADDD	Geller et al., "Helper Virus-Free Herpes Simplex Virus-1 Plasmid Vectors for Gene Therapy of Parkinson's Disease and Other Neurological Disorders", Experimental Neurology, Vol. 144, No. 1, pp. 98-102 (1997)
	AEEE	Geller, "A New Method to Propagate Defective HSV-1 Vectors", Nucleic Acids Research, Vol. 16, No. 12, pp. 5690, (1988).
	AFFF	Geschwind et al., "Transfer of the Nerve Growth Factor Gene into Cell Lines and Cultured Neurons Using a Defective Herpes Simplex Virus Vector. Transfer of the NGF Gene into Cells by a HSV-1 Vector", Molecular Brain Research, Vol. 24, pp. 327-335, (1994).

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	Applicant Howard J. Federoff et al.			
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Other Documents (include Author, Title, Date, and Place of Publication)		
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	AGGG	Gorantla et al., "Human dendritic cells transduced with herpes simplex virus amplicons encoding human immunodeficiency virus type 1 (HIV-1) gp120 elicit adaptive immune responses from human cells engrafted into NOD/SCID mice and confer partial protection against HIV-1 challenge," J. Virol., vol. 79, no. 4, pp. 2124-32, February 2005.
	AHHH	Grewal et al., "The Role of CD40 Ligand in Costimulation and T-Cell Activation", Immunological Reviews, No. 153, pp. 86-105, (1996).
	AIII	Gruss et al., "CD40/CD40 Ligand Interactions in Normal, Reactive and Malignant Lympho-Hematopoietic Tissues", Leukemia and Lymphoma, Vol. 24, No. 5/6, pp. 393-422 (1997).
	AJJJ	Haase G. et al., "Gene Therapy Of Murine Motor Neuron Disease Using Adenoviral Vectors For Neurotrophic Factors", Nat. Med., April 1997, Vol. 3, No. 4, pp. 429-436
	AKKK	Halterman, M.W. et al., "Restricted replication using VP16 in HSV-1 mutants produces amplicon vectors with reduced toxicity", Society for Neuroscience Abstracts, Vol. 26, No. 1-2, Abstract No. 232-13, November 4, 2000
	ALLL	Hardwicke et al., "Differential Effects of Nerve Growth Factor and Dexamethasone on Herpes Simplex Virus Type 1 oriL- and OriS-Dependent DNA Replication in PC12 Cells", Journ. Of Virology, Vol. 71, No. 5, pp. 3580-357, (05/1997).
	AMMM	Harris et al., "Keyhole Limpet Hemocyanin: Molecular Structure Of A Potent Marine Immunoactivator", Euro. Urol. 2000, Vol. 37 (Suppl. 3), pp. 24-33
	ANNN	Hirano, et al., "Expression of Costimulatory Molecules in Human Leukemias", Leukemia, Vol. 10, No. 7, pp. 1168-1176, (03/21/1996).
	AOOO	Hitt et al., "Human Adenovirus Vectors for Gene Transfer into Mammalian Cells", Gene Therapy, Advances in Pharmacology, Vol 40, pp. 137-206, (1997).
	APPP	Hocknell et al., "Expression of human immunodeficiency virus type 1 gp120 from herpes simplex virus type 1-derived amplicons results in potent specific, and durable cellular and humoral immune responses," J. Virol., vol. 76, no. 11, pp. 5565-5580, June 2002.
	AQQQ	Howard et al., "Genetic Manipulation of Primitive Leukemic and Normal Hematopoietic Cells Using a Novel Method of Adenovirus-Mediated Gene Transfer", Leukemia, Vol. 13, No. 10, pp. 1608-1616, (10/1999).
	ARRR	Huang et al., "Efficient Adenovirus-Mediated Gene Transduction of Normal and Leukemic Hematopoietic Cells", Gene Therapy, Vol. 4, No. 10, pp. 1093-1099 (10/1997).
	ASSS	Johnson et al., "Improved cell survival by the reduction of immediate-early gene expression in replication-defective mutants of herpes simplex virus type 1 but not by mutation of the virion host shutoff function", Journal of Virology, Vol. 68, No. 10, pp. 6347-6362, October 1994
	ATTT	Karpoff et al., "Prevention of Hepatic Tumor Metastases in Rats with Herpes Viral Vaccines and Gamma Interferon", J. Clin. Invest. 99:799-804 (1997)
	AUUU	Karr et al., "The Virion Host Shutoff Function of Herpes Simplex Virus Degrades the 5' End of a Target mRNA before the 3' End", Virology, Vol. 264, No. 1, pp.195-204, (1999).
	AVVV	Khanna et al., "Cutting Edge: Engagement of CD40 Antigen with Soluble CD40 Ligand Up-Regulates Peptide Transporter Expression and Restores Endogenous Processing Function in Burkitt's Lymphoma Cells", The Journ. of Immunology, Vol. 159, No. 12, pp. 5783-5785 (12/15/1997).
	AWWW	Kochanek, "High-Capacity Adenoviral Vectors for Gene Transfer and Somatic Gene Therapy", Human Gene Therapy, Vol. 10, No. 15, pp. 2451-2459, (10/10/1999).

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**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AXXX	Kutubuddin et al., "Eradication of pre-established Lymphoma Using Herpes Simplex Virus Amplicon Vectors", Blood, Vol. 93, No. 2 pp. 643-654, (01/15/1999).
	AYYY	Kwak et al., "Induction of Immune Responses in Patients with B-Cell Lymphoma Against the Surface-Immunoglobulin Idiotype Expressed by Their Tumors", The New England Journal of Medicine, Vol. 327, No. 17, pp. 1209-1215, (10/22/1992).
	AZZZ	Kwong et al., "The Herpes Simplex Virus Virion Host Shutoff Function", Vol. 63, No. 11, pp. 4834-4839, (11/1989).
	AAAAA	Lam et al., "Herpes Simplex Virus VP16 Rescues Viral mRNA from Destruction by the Virion Host Shutoff Function", The EMBO Journal, Vol. 15, No. 10, pp. 2575-2581, (05/15/1996).
	ABBBB	Lanzavecchia, "License to Kill", Nature, Vol. 393, pp. 413-414, (06/04/1998).
	ACCCC	Lieb et al., "Gene Delivery to Neurons: Is Herpes Simplex Virus the Right Tool for the Job?", BioEssays, Vol. 15, No. 8 pp. 547-554, (08/1993).
	ADDDD	Lillicrop et al., "The Octamer-Binding Protein Oct-2 Represses HSV Immediate-Early Genes in Cell Lines Derived from Latently Infectible Sensory Neurons", Neuron, Vol 7, No. 3, pp. 381-390, (09/1991).
	AEEEE	Liu et al., "Pseudotransduction of Hepatocytes by Using Concentrated Pseudotyped Vesicular Stomatitis Virus G Glycoprotein (VSV-G)-Maloney Murine Leukemia Virus-Derived Retrovirus Vectors: Comparison of VSV-G and Amphotropic Vectors for Hepatic Gene Transfer", Journal of Virology, Vol 70, No. 4, pp. 2497-2502, (04/1996).
	AFFFF	Lu et al., "Herpes Simplex Virus Type 1 Amplicon Vectors with Glucocorticoid-Inducible Gene Expression", Human Gene Therapy, Vol. 6, No. 4, pp. 419-428, (04/1995).
	AGGGG	Mader et al., "A Steroid-Inducible Promoter for the Controlled Overexpression of Cloned Genes in Eukaryotic Cells", Proc. Natl. Acad. Sci. USA, Vol. 90, pp. 5603-5607, (06/1993).
	AHHHH	Maguire-Zeiss et al., "HSV Vector-Mediated Gene Delivery To The Central Nervous System", Current Opinion Molecular Therapy, October 2001, Vol. 3, No. 5, pp. 482-490
	AIIII	Marsh D.R. et al., "Herpes Simplex Viral And Amplicon Vector-Mediated Gene Transfer Into Glia And Neurons In Organotypic Spinal Cord And Dorsal Root Ganglion Cultures", Molec. Therap. May 2000, Vol 1. No. 5, pp. 464-478
	AJJJJ	Martuza et al., "Experimental Therapy of Human Glioma by Means of a Genetically Engineered Virus Mutant", Science, Vol. 252, pp. 854-856 (05/10/1991).
	AKKKK	Matzinger, "The JAM Test A Simple assay for DNA Fragmentation and Cell Death", Journ. of Immunological Methods, Vol. 145, pp. 185-192 (1991).
	ALLLL	McFarlane et al., "Hexamethylene Bisacetamide Stimulates Herpes Simplex Virus Immediate early Gene Expression in the Absence of Trans-Induction by Vmw65", Journal of General Virology, Vol. 73, pp. 285-292, (1992).
	AMMMM	Mellerick et al., "Physical State of the Latent Herpes Simplex Virus Genome in a Mouse Model System: Evidence Suggesting an Episomal State", Virology, Vol. 158, pp. 265-275, (1987).
	ANNNN	O'Hare et al., "Herpes Simplex Virus Regulatory Elements and the Immunoglobulin Octamer Domain Bind a Common kfactor and are both Targets for Virion Transactivation", Cell, Vol 52, pp. 435-445, (02/12/1988).
	AOOOO	O'Hare, "The Virion Transactivator of Herpes Simplex Virus", Virology, Vol. 4, pp. 145-155, (1993).

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	APPPP	Olschowka et al., "Helper-free HSV-1 amplicons elicit a markedly less robust innate immune response in the CNS," Molecular Therapy; vol. 7, no. 2, pp. 218-227, February 2003.
	AQQQQ	Oyama et al., "Vascular Endothelial Growth Factor Affects Dendritic Cell Maturation Through the Inhibition of Nuclear Factor- $\kappa$ B Activation in Hemopoietic Progenitor Cells", The Journal of Immunology, 160:1224-1232, 1998
	ARRRR	Palella et al., "Herpes Simplex Virus-Mediated Human Hypoxanthine-Guanine Phosphoribosyltransferase Gene Transfer into Neuronal Cells", Molecular and Cellular Biology, Vol. 8 No. 1, pp. 457-460 (01/1988).
	ASSSS	Paterson et al., "A Prominent Serine-Rich Region in Vmw175, the Major Transcriptional Regulator protein of Herpes Simplex Virus Type 1, is not Essential for Virus Growth in Tissue Culture", Journal of General Virology, Vol. 71, pp. 1775-1783 (1990).
	ATTTT	Platt, "New Directions for Organ Transplantation", Nature, 392 supplement:11-17, 1998
	AUUUU	Post et al., "Regulation of $\alpha$ Genes of Herpes Simplex Virus: Expression of Chimeric Genes Produced by Fusion of Thymidine Kinase with $\alpha$ Gene Promoters", Cell, Vol. 24, pp. 555-565, (05/1981).
	AVVVV	Preston, et al., "A Complex Formed between Cell Components and an HSV Structural Polypeptide Binds to a Viral Immediate Early Gene Regulatory DNA Sequence", Cell, Vol. 52, pp. 425-434, (02/12/1988).
	AWWWW	Read et al., "Herpes Simplex Virus Mutants Defective in the Virion-Associated Shutoff of Host Polypeptide Synthesis and Exhibiting Abnormal Synthesis of (Immediate Early) Viral Polypeptides", Journal of Virology, Vol. 46, No. 2, pp. 498-512 (05/1983).
	AXXXX	Rixon et al., "Assembly of Enveloped Tegument Structures (L particles) Can Occur Independently of Virion Maturation in Herpes Simplex Virus Type 1-Infected Cells", Journal of General Virology, Vol. 73, pp. 277-284 (1992).
	AYYYY	Roizman, "HSV Gene Functions: What Have we Learned that could be Generally Applicable to its Near and Distant Cousins?", Acta Virologica, vol. 43, pp. 75-80, (1999).
	AZZZZ	Saeki et al., "Improved helper virus-free packaging system for HSV amplicon vectors using an ICP27-deleted, oversized HSV-1 DNA in a bacterial artificial chromosome," Molecular Therapy, vol. 3, no. 4, pp. 591-601, April 2001.
	AAAAAA	Saeki et al., "Herpes Simplex Virus Type 1 DNA Amplified as Bacterial Artificial Chromosome in Escherichia coli: Rescue of Replication-Competent Virus Progeny and Packaging of Amplicon Vectors", Human Gene Therapy, Vol. 9, pp. 2787-2794 (12/10/1998).
	ABBBBB	Schmelter et al., "Identification and Characterization of a Small Modular domain in the Herpes Simplex Virus Host Shutoff Protein Sufficient for Interaction with VP16", Journal of Virology, Vol. 7, No. 4, pp. 2124-2131, (04/1996).
	ACCCCC	Sena-Estaves et al., "HSV-1 Amplicon Vectors - Simplicity And Versatility", Molecular Therapy, July 2000, Vol. 2, No. 1, pp. 9-15
	ADDDDD	Smibert et al., "Herpes Simplex Virus VP16 Forms a Complex with the Virion Host Shutoff Protein vhs", Journal of Virology, Vol. 68, No. 4, pp. 2339-2346 (04/1994).
	AEEEEEE	Smibert et al., "Identification and Characterization of the Virion-Induced Host Shutoff Product of Herpes Simplex Gene UL41", Journal of General Virology, Vol. 73, pp. 467-470 (1992).
	AFFFFFF	Sotomayor et al., "Conversion of Tumor-Specific CD4+T-Cell Tolerance to T-Cell Priming through <i>in vivo</i> ligation of CD40", Nature Medicine, Vol. 5, No. 7, pp. 780-784 (07/1999).

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	AGGGGG	Spaete et al., "The Herpes Simplex Virus Amplicon: A New Eucaryotic Defective-Virus Cloning-Amplifying Vector", Cell, Vol. 30, pp. 295-304 (8/1982).
	AHHHHH	Spector et al., "Replication-defective Herpes Virus Amplicon Vectors and Their Use for Gene Transfer", Cells: A Laboratory Manual, Vol. 2: Light Microscopy and Cell Structure, pp. 91.1-91.10 (1997).
	AIIIII	Stavropoulos et al., "An Enhanced Packaging System for Helper-Dependent Herpes Simplex Virus Vectors", Journal of Virology, Vol. 72, No. 9, pp. 7137-7143 (09/1998).
	AJJJJJ	Stern et al., "The Oct-1 Homoeodomain Directs Formation of a Multiprotein-DNA Complex with the HSV Transactivator VP16", Nature, Vol 341, pp. 624-630 (10/19/1989).
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Examiner Signature /Robert Kelly/ (07/27/2009)	Date Considered /Robert Kelly/ (07/27/2009)
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